

FORM PTO-1390  
(REV. 5-93)U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTORNEY'S DOCKET NUMBER  
10191/1690**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

**09/762985**INTERNATIONAL APPLICATION NO.  
PCT/DE00/01835INTERNATIONAL FILING DATE  
(06.06.00)  
6 June 2000PRIORITY DATE CLAIMED:  
(20.07.99)  
20 July 1999

## TITLE OF INVENTION

**DEVICE AND METHOD FOR ETCHING A SUBSTRATE USING AN INDUCTIVELY COUPLED PLASMA**

## APPLICANT(S) FOR DO/EO/US

**BECKER, Volker; LAERMER, Franz; and SCHILP, Andrea.**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) immediately rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11. to 16. below concern other document(s) or information included:**

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.  
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information: International Search Report; and PCT/RO/101.

EXPRESS MAIL NO.: **EL 234 43 077 US**

17. ☒ The following fees are submitted:**Basic National Fee (37 CFR 1.492(a)(1)-(5)):**Search Report has been prepared by the EUROPEAN PATENT OFFICE or  
JPO

\$860.00

International preliminary examination fee paid to USPTO (37 CFR 1.482) \$690.00

No international preliminary examination fee paid to USPTO (37 CFR 1.482) but  
international search fee paid to USPTO (37 CFR 1.445(a)(2)) \$710.00Neither international preliminary examination fee (37 CFR 1.482) nor international search  
fee (37 CFR 1.445(a)(2)) paid to USPTO \$1000.00International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims  
satisfied provisions of PCT Article 33(2)-(4) \$100.00

CALCULATIONS | PTO USE ONLY

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

\$ 860.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months  
from the earliest claimed priority date (37 CFR 1.492(e)).

\$

Claims	Number Filed	Number Extra	Rate		
Total Claims	30 - 20 =	10	X \$18.00	\$ 180.00	
Independent Claims	1 - 3 =	0	X \$80.00	\$ 0	
Multiple dependent claim(s) (if applicable)			+ \$270.00	\$ 0	

**TOTAL OF ABOVE CALCULATIONS =**

\$1040.00

Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must  
also be filed. (Note 37 CFR 1.9, 1.27, 1.28).

\$

**SUBTOTAL =**

\$1040.00

Processing fee of \$130.00 for furnishing the English translation later the ☐ 20 ☐ 30  
months from the earliest claimed priority date (37 CFR 1.492(f)).

+

\$

**TOTAL NATIONAL FEE =**

\$1040.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be  
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property

+

\$

**TOTAL FEES ENCLOSED =**

\$1040.00

Amount to be:

refunded

\$

charged

\$

a. ☐ A check in the amount of \$\_\_\_\_\_ to cover the above fees is enclosed.b. ☒ Please charge my Deposit Account No. 11-0600 in the amount of **\$1040.00** to cover the above fees. A duplicate copy of this  
sheet is enclosed.c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit  
Account No. 11-0600. A duplicate copy of this sheet is enclosed.**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be  
filed and granted to restore the application to pending status.SEND ALL CORRESPONDENCE TO:  
Kenyon & Kenyon  
One Broadway  
New York, New York 10004*Richard L. Mayer*  
*By: Mary C. Weiser Reg No 30,333*  
SIGNATURERichard L. Mayer, Reg. No. 22,490  
NAME2/15/01  
DATE

EXPRESS MAIL CERTIFICATE

"EXPRESS MAIL" MAILING LABEL NUMBER EL23441307745

DATE OF DEPOSIT February 15, 2001

TYPE OF DOCUMENT National Phase Application

SERIAL NO. Revised FILING DATE Herewith

I HEREBY CERTIFY THAT THIS PAPER OR FEE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE "EXPRESS MAIL POST OFFICE TO ADDRESSEE" SERVICE UNDER 37 CFR 1.10 ON THE DATE INDICATED ABOVE, BY BEING HANDED TO A POSTAL CLERK OR BY BEING PLACED IN THE EXPRESS MAIL BOX BEFORE THE POSTED DATE OF THE LAST PICK UP, AND IS ADDRESSED TO THE ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON, D.C. 20231.

CHRISTOPHER ASH

(PRINTED NAME OF PERSON MAILING PAPER OR FEE)

Christopher Ash

(SIGNATURE OF PERSON MAILING PAPER OR FEE)

Title: Device and method for etching a  
substrate using an inductively  
coupled plasma.